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Express Mail Label No. ET548251046US

08/06/01

JC984 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
YAO-3750US1

Total Pages in this Submission

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE

and invented by:

Kazuhisa YAMAMOTO; Kiminori MIZUUCHI; Yasuo KITAOKA; Makoto KATO

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/973,380

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

## Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 89 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

1036 U.S. PTO  
09/922978

08/06/01

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
YAO-3750US1

Total Pages in this Submission

**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☒ Formal                      Number of Sheets                      30
- b. ☒ Informal                      Number of Sheets                      5
4. ☒ Oath or Declaration
- a. ☐ Newly executed *(original or copy)*                      ☐ Unexecuted
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney                      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche *(Appendix)*
7. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy *(identical to computer copy)*
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☐ Assignment Papers *(cover sheet & document(s))*
9. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement/PTO-1449                      ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class    ☒ Express Mail *(Specify Label No.):* ET548251046US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
**YAO-3750US1**

Total Pages in this Submission

**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☒ Additional Enclosures *(please identify below):*

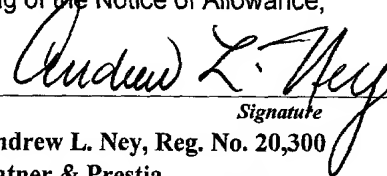
English Translation of Pages as Revised Under Article 34 (18 pages)

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	8	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	1	- 3 =	0	x \$78.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$710.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$710.00

- ☒ A check in the amount of \$710.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 18-0350 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

  
Signature

Andrew L. Ney, Reg. No. 20,300  
Ratner & Prestia  
P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

Dated: August 6, 2001

CC:

**EXPRESS MAIL**

**CERTIFICATE OF MAILING - SEPARATE PAPER**

In the Application of: Kazuhisa Yamamoto et al.

Serial Number: To Be Assigned

Filed: Herewith

I hereby certify that a **DIVISIONAL PATENT APPLICATION TRANSMITTAL (with its enclosures as listed below)** are being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR 1.10 on the date indicated below with sufficient postage and is addressed to the Assistant Commissioner for Patents, Washington, DC 20231, Box Patent Application on:

Date: August 6, 2001

  
Kathleen Libby

Express Mail Label Number: ET548251046US

Divisional Application Transmittal (3 pages in duplicate)

Preliminary Amendment

(5 pages w/Figures 1-6 attached marked with red corrections)

Specification and Claims (89 pages)

Copy of DEC/POA (3 pages)

English Translation of Pages As Revised Under Article 34 (18 pages)

Submission of Formal Drawings

(1 page w/30 Sheets of Formal Drawings attached)

Information Disclosure Statement (2 pages)

PTO-1449 (1 page)

(1) check

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kazuhisa Yamamoto et al. : Art Unit:  
Serial No.: To Be Assigned : Examiner:  
Filed: Herewith  
For: OPTICAL DEVICE, LASER BEAM SOURCE,  
LASER APPARATUS AND METHOD OF  
PRODUCING OPTICAL DEVICE

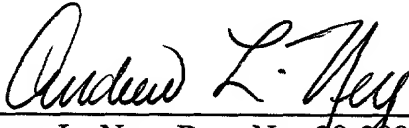
SUBMISSION OF FORMAL DRAWINGS

Assistant Commissioner for Patents  
Washington, DC 20231

S I R :

Formal drawings in the above-identified application are submitted  
herewith.

Respectfully Submitted,

  
\_\_\_\_\_  
Andrew L. Ney, Reg. No. 20,300  
Attorney for Applicants

Enclosures: (30) Sheets of Formal Drawings  
Dated: August 6, 2001  
P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

The Assistant Commissioner for Patents is  
hereby authorized to charge payment to  
Deposit Account No. 18-0350 of any fees  
associated with this communication.

**EXPRESS MAIL**

Mailing Label Number:  
Date of Deposit:

ET548251046US  
August 6, 2001

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Kathleen Libby